

APR - 5 1956

Chief, Management Staff

Asst. Management Officer

Personnel Records Survey Report.

1. Assignment:

- a. To identify the principal personnel records maintained and their uses.
- b. To summarize these data and present them for analysis by the Management Staff.

2. Scope of the Survey:

- a. The survey was limited to fact finding. The adequacy of, or need for, the records examined were not analyzed.
- b. Headquarters elements of the DE/P, DE/S and DD/I Areas were surveyed.
- c. The records examined were those used for personnel management - hiring, promoting, transferring, rotating, separating, etc.

Excluded were the specialized records maintained by: the Offices of Security, Medical and Training; the Divisions of Military Personnel and Records Integration; and the Counter Intelligence Staff.

3. Findings:

Analysis sheets (Annex A) summarize the basic records examined and emphasize their duplication. Basic data concerning the records and their uses are presented in Annex B. The following are the main subjects covered in that Annex:

- a. Personnel File Folders are maintained in every third echelon^{*} component surveyed. Many of the contents are duplicated in the official personnel file in the Office of Personnel. Some folders contain operational material, but most contain those personnel records necessary for third echelon personnel administration and are frequently used to the exclusion of the official folder. Fourth and fifth echelons also frequently maintain personnel file folders.

* The DD/I and DD/S Offices, the DE/P Divisions and Staffs.

- b. Profiles are used extensively but vary greatly in contents. Most are on a single page. They are usually confined to facts which can be copied from other forms. Education, previous experience, Agency assignments and Agency training are the usual contents. They seldom include evaluated information. They are not prepared by the central personnel office and are seldom in the official personnel file folders.
- c. Individual Card records are maintained by all third echelon components surveyed,** the majority using the Civil Service Employee Record Card, Form OF-4b. The cards contain a record of Agency assignments and some or all of these items: training, previous experience and education.
- d. T/O List, the monthly IBM publication of the Personnel Office, was considered inadequate for operating needs by all but one component;*** many called it "useless." Five components surveyed prepare their own monthly T/O lists and a sixth plans to do so. Other components use the form (F-4b with the Position Identification Strip in a Kardex cabinet as a working T/O record.
- e. Records of Training are kept by training officers, usually at the third echelon level. Most of these components keep a card record summarizing each employee's training. Records of needed training are more diverse, but are usually maintained.
- f. Skills Locator Record, in Qualifications Analysis Branch, Personnel Assignment Division, Office of Personnel is used continually by placement officers but is frequently criticized by operating components as inadequate and inaccurate. It is not kept up to date. ORR has set up its own record.

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ANNEXES:

- A - Analysis Sheets
- B - Summary of Records Surveyed

** Except Office of Operations, DD/I which does not maintain personnel records at the third echelon level.

Explanation of Analysis Sheets

1. Sheets 1 - 12 summarize the main contents of personnel file folders. The columns are arranged, from left to right in descending echelon order. On each line, a "1" is entered in the column of the highest echelon maintaining the record. If a lower echelon maintains a duplicate, a "2" is entered, a "3" indicates triplication, and so on.

It was found that some offices maintain these same materials in subject files (a pending file of forms 52, for example) so they are included. Materials in personnel file folders are indicated by red numbers, materials in subject files are indicated by blue numbers.

This brief survey has established the facts of specific duplication of selected basic forms. For other records, duplication by type has been established but a detailed analysis of forms was not undertaken.

2. Sheets 13 - 15 summarize the records maintained on staffing, pseudo/crypto cross references, training, skills locators and individual career plans. Descriptions of each heading follow:

a. Staffing Records:

- (1) T/O List - Official: the official IBM list of T/O positions and incumbents prepared monthly by the Personnel Office and distributed to major agency components. Postings to this record are made from forms SF-50.
- (2) T/O List - Working: Any other list of positions and incumbents. These lists are frequently posted from forms SF-52.
- (3) T/O Card - OFlb: Form OFlb is a 5x8 individual card record containing a summary of official personnel actions, efficiency ratings and training. When used with the Position Identification Strip, SF-7d in a Kardex file and arranged in organizational order, it becomes a staffing record.
- (4) T/O Card - Other: Some components use other card forms, or blank cards, for a visible index staffing record.
- (5) Vacancy List: Some components maintain lists of vacancies.
- (6) Pending Returnee List: Similar to the above, is a list of field positions soon to be vacated by returnees. The scheduled date of return is usually shown.

- (7) In-casual List: When a returnee arrives in Central Processing Branch, Office of Personnel, his name is placed on the monthly In-casual List. It is removed when his reassignment is authenticated by form SF-50.

b. Pseudo/Crypto Files:

- (1) Pseudo Cross Reference: This is a dual card file cross-referencing true names and pseudonyms. Security regulations require that the cross-referencing technique include a key number, so that true names and pseudonyms are not maintained in the same file cabinet.
- (2) Crypto Cross Reference: This is a dual card file similar to the pseudo file described above. True names and cryptonyms are cross referenced.
- (3) Phone Information Record: Card records are maintained of unlisted telephone numbers, which are supplied by telephone to authorized personnel. Some information concerning agency personnel is placed on cards for use in answering outside credit inquiries, etc. The cards indicate how much information, if any, can be supplied.

c. Training Records, Individual are maintained in the following ways:

- (1) In Personnel Folder
- (2) On OFlb card, or some similar record card.
- (3) In a book, or binder or folder containing only records of individual training.
- (4) On a Skills Locator Record. (See definition in part e below.)

d. Training Schedules refers to the records necessary to plan and schedule in-service training for the members of a component.

e. Skills Locator Record refers to a record used to locate personnel of specific skills, qualifications and training. It frequently is set up for use with a mechanical selection device such as IBM, Key or E-Z Sort or colored tabs.

f. Career Plans: A written plan of future training and assignments for an individual.

Outline of Analysis Sheets: Personnel Records Survey

I. Main Contents of Personnel and Subject Files

A. Headquarters Staff Employees

1. DD/S
2. DD/I
3. DD/P

B. Hq. Records of Field Staff Employees

4. DD/S
5. DD/I
6. DD/P

C. Hq. Records of Field Staff Agents

7. DD/S
8. DD/I - None located in this survey.
9. DD/P

D. Hq. Records of Field Contract Personnel

10. DD/S
11. DD/I
12. DD/P

II. Other Major Personnel Records in Headquarters

13. DD/S
14. DD/I
15. DD/P

1. DD/S
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Main Contents of
Personnel &
Subject Files

		AGENCY RECORDS OFFICE OF CHIEF OF RECORDS SERVICES DIV.	CONTRACT DIV.	TRAINING DIV.	ADMIN. STAFF	PERSONNEL DIV.	PROGRAM DIV.	SUPPLY DIV.	SUPPORT STAFF	OPERATIONS SCHOOL	BASIC SCHOOL
A. Qual & Fitness											
Per Hist Stat	/	2	2	2				2			
Qualif. Quest.	/	2	2	2				2		3	
Other Qual Recd		1			1						
Profile			1					1	2		
Fitness Report	/ 2	3	3	2	4	4		4	2	3	3
Train'g Record	/	2	2	3	4	4	4	2	3	3	3
Derogatory Data	/		2	3	3	4	4	2			
Commendatory "	/		2	2	3	3	4	4	2	3	3
Security	/	2	2			2	3	2	3		
Medical	/		2			3	4	2			
B. SF-52 (Request)	/	2	2	2	3	3	4	2			
C. SF-50 Action	/							2			
D. Pos Des'n-offl Own Language	/			2	3	3	3	4	2	3	3
E. Misc. Info:											
Travel	/	2		2	2		2				
Military		1	1	2	2			1			
Cover			1		2		1				
Operational			1								
Cables & Disps	/	2						2			

See attached explanation of this form

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Main Contents of
Personnel & Subject Files

4. Sanitized Approved For Release Field Staff Employees

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		AGENCY	OFFICE	CHIEF	RECORDS	CONTRACT	TRAINING	ADMIN	STAFF	SECURITY	PROCESSING	SUPPLY	SUPPORT	OPERATIONS	BASIC
		RECORDS	CHIEF	RECORDS	CONTRACT	TRAINING	ADMIN	STAFF	SECURITY	PROCESSING	SUPPLY	SUPPORT	OPERATIONS	BASIC	
A. Qual & Fitness															
Per Hist Stat	/														
Qualif. Quest	/														
Other Qual Recd															
Profile															
Fitness Report	/														
Train'g Record	/														
Derogatory Data	/														
Commendatory "	/														
Security	/														
Medical	/														
B.SF-52 (Request)	/														
C.SF-50 Action	/														
D.Pos Des'n-offl	SAME														
Own Language															
E.Misc. Info:															
Travel	/														
Military															
Cover															
Operational															
Cables & Disp's	/														

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7. ~~DD/S~~ ~~Headquarters~~ ~~Records of Field Staff Agents~~

PERSONNEL OFFICE - 90214 R00010013001878 TRAINING OFFICE

See attached explanation of this form

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10. Sanitized - Approved For Release - Cold War Contract Personnel

Main Contents of
Personnel & Subject Files

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	AGENCY OFFICE	RECORDS OFFICE	SECURITY DIV.	TRAINING DIV.	ADMIN. DIV.	PROCES- SING DIV.	TRAINING OFFICE	SUPPLY DIV.	SUPPORT DIV.	OPERATIONS DIV.	BASIC DIV.
A. Qual & Fitness											
Per Hist Stat											
Qualif. Quest											
Other Qual Rec'd	/										
Profile	/										
Fitness Report											
Train'g Record	/										
Derogatory Data	/							2			
Commendatory "	/							2			
Security	/							2			
Medical	/							2			
B. SF-52 (Request)											
C. SF-50 Action											
D. Pos Des'n-offl	544										
Own Language											
E. Misc. Info:											
Travel	/										
Military	/										
Cover	/										
Operational											
Cables & Disp's	/										

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AGENCY RECORDS	OFFICE OF CHIEF OF RECORDS	CONTRACTOR	PERSONNEL DIV.	TRAINING DIV.	ADMIN. STAFF	PRINTING	PROCUREMENT	U.S. CHIEF	SUPPLY DIV.	SUPPORT STAFF	OPERATIONS SCHOOL	BASIC SCHOOL
----------------	----------------------------	------------	----------------	---------------	--------------	----------	-------------	------------	-------------	---------------	-------------------	--------------

1. Staffing Records

T/O List-Off'l.

1 2 2 2

-Working

1 1 1

T/O Card-OF lib

1 3 2 3 3 3 4 2

-Other

2 3

Vacancy List

Pndg Returnee List

In-casual List

1

2. Pseudo/Crypto Files

Pseudo Cr. Ref.

1

Crypto Cr. Ref.

Phone Info.Record

1

3. Training Records

A. Individ Records

In Pers. Folder

1 2 2 2

On Card Record

1 2 1 1

In A Book

1

On Skills Loc.

B. Trng.Schedules

1 1 1

4. Skills Loc.Record

1

5. Career Plan

1 1

See attached explanation of this form.

* Foreign field positions only.

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Annex B

Summary of Records Surveyed

1. Personnel File Folders of Staff Employees:

- a. The Official Personnel File Folder for each staff employee is maintained in the Office of Personnel. There is a consensus among central personnel officers that this file should not be duplicated, although some believe that the official file should be physically decentralized to the Deputy Director echelon.
- b. There are some data which are found only in the official personnel file folder which have virtually no significance to line supervisors: secrecy oath, insurance forms, creditors' inquiries, evidence of attendance at required orientation courses, etc.
- c. The basic records of qualifications and fitness are maintained in personnel file folders in every third echelon (DD/I and DE/S Offices, DD/P Divisions and Staffs). The common pattern of the material maintained is shown in analysis sheets 1 - 3. The sheets also show that there are variations among the contents of these files. Below the third echelon greater variation is found, but there are numerous triplications and quadruplications of the basic records.
- d. Numerous fourth echelon components maintain these same data in subject files, rather than in personnel files. This facilitates destruction of the records after a short retention period.
- e. Some components use their unofficial personnel file folders (usually called "soft folders" or "201 files") with the official folders in deciding upon personnel actions. Others maintain all the records they consider necessary for personnel management and use the soft folders to the exclusion of the official folders.
- f. The main reasons volunteered for maintaining soft folders were:
 - (1) To keep the records close at hand.
 - (2) The contents of official folders are prescribed by the Office of Personnel; other materials must therefore be placed in soft folders.
 - (3) For compartmentation; some materials are never released to the Office of Personnel, but are filed by individual in the operating components. Note here that a soft folder may be serving two distinct purposes: as a personnel file in the usual sense of the

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term and as a repository for operational material, filed by individual.

- h. In the Office of Central Reference, DC/I, the soft folder as a complete "working personnel file" is an established philosophy, proven by the fact that the file is transferred with the individual, if he remains in OCR.

2. Personnel File Folders of Staff Agents: The observations concerning staff employee personnel file folders are applicable to staff agent file folders, but the problems are somewhat simpler because the length of service of a staff agent is usually limited. The main policy problem is what records or sterilized summary should be placed in the employee folder when the agent is converted to employee status.
3. Personnel File Folders of Contract Personnel: Although some data were obtained on this category (sheets 10 - 12), it was deemphasized due to the essentially operational implications. Certain basic papers are maintained in the Contract Personnel Division, OP and most of the remaining records are maintained by case officers. There are specific CSI instructions concerning contract personnel records to be maintained in the operating branches.
4. Qualifications and Fitness Data:
 - a. The Personal History Statement with its long record of residences and references appears to be a poor qualifications record, yet it is found in the soft folders of most third echelons.
 - b. The Qualifications Questionnaire was designed for use in preparation of the Agency skills locator record in the Qualifications Analysis Branch, Personnel Assignment Division, OP. No provision was made for copies for operating components but most components surveyed obtained a copy for their soft folders. It is shorter and better organized as a record of qualifications than the PHF.
 - c. There are some other qualifications records, but little uniformity in their design or contents.
 - d. A profile, or summary (usually one page) of qualifications and fitness is an instrument for volume personnel administration. The ID/P area uses a form entitled "Personnel Data Sheet" which, for non-clerical employees, is usually prepared by the component's personnel officer when he prepares a Request for Personnel Action, Form SF 52. The data sheet is limited to the facts of previous assignments, experience, education and training and does not involve evaluation.

Of the 11 third echelon components examined, 7 have some kind of profile in their soft folders (sheets 1 - 3) and 6 have lower echelons which have profiles in soft folders.

- e. Fitness reports are found in soft folders in nearly every echelon.
 - f. Some records of training are also found in nearly every echelon.
 - g. Derogatory data are found in most soft folders and in the official folder. However, several components retain derogatory data in soft folders until it is substantiated, and then send copies forward for the official folder. Some offices consider such data too closely allied with covert operations to be placed in the official folder.
 - h. The above comments are generally applicable to commendatory data, too. But by and large the official folder contains a greater proportion of commendatory reports than of derogatory reports.
 - i. Security and medical information in soft folders is usually confined to information limiting an employee's availability for overseas duty.
5. Request for Personnel Action, Form SF-52: Many components retain a copy in the soft folder. Some retain a copy in a pending folder for follow-up action. When the notice of completed action (Form SF-50) is received, some offices destroy the Form 52 and others post the effective date on it and file it in a soft folder.
6. Notice of Personnel Action, Form SF-50: Of the offices surveyed in the EE/S area, only the Support Staff, GHA keeps a copy of this form. Similarly, in EE/I only the Contact Division, CO keeps one. A copy is usually retained in a EE/P soft file because it is considered poor security policy to give this paper, marked "Employee's Copy" to an employee.
7. Position Descriptions are usually filed separately because they refer to positions, not to incumbents. No copies are placed in official personnel file folders. But copies are sometimes placed in soft folders. Of the 75 files of position descriptions located in the survey, 20 were in soft files; the remaining 55 were in subject files. Twenty-nine of the 75 were descriptions in the language of the operating officials and 46 were copies of the official description.
8. Miscellaneous Information in Personnel and Subject Files: The analysis sheets indicate the presence or absence of some information in the files concerning travel, military information, cover, operational data and cables and dispatches.
- a. Travel information is usually confined to copies of expense vouchers and related memoranda.
 - b. Military information most frequently refers to information concerning an employee's reserve status.

9. Staffing Records

a. Card Records:

- (1) The Federal Personnel Manual prescribes the 5x8 card Form OF-4b, Employee Record Card as the basic employee record for operating components. When used with the Position Identification Strip, SF-7d in a Kardex file and arranged in T/O order, it becomes a position and incumbency record. The strip names the position and the card lists the employee's name. When used together, the employee name and position title appear on the same line. When an employee card is removed, the word "VACANT" appears beside the position title.* It is designed for up-to-date maintenance by manual posting of all personnel actions, in-service training and "efficiency ratings." There is also a blank 5x8 area which can be used for additional information.
- (2) Of the 11 third echelon components surveyed, 7 are maintaining an OF-4b record and 3 are maintaining a similar record on a different card. The eleventh, Office of Operations, DD/I, does not maintain personnel records at that level. Of the 26 fourth echelon components surveyed, 7 maintain OF-4b records and 4 others maintain a similar record card. Four more similar records were identified in lower echelons. In summary, 100% of those third echelon offices surveyed which maintain any personnel records keep OF-4b-type cards and 42% of the fourth echelon offices surveyed keep similar records.

b. T/O Lists:

- (1) OF-4b Kardex records are in metal cabinets and supervisors must come to the cabinets to use the records. The Office of Personnel produces and distributes to third echelon offices a monthly IBM T/O list in multiple copies which is also a record of positions and incumbents. It has greater portability and flexibility for use by supervisors, but contains no record of previous assignments. It is the official control record referred to by such offices as Management Staff and the Inspector General.
- (2) In every component surveyed where the question was discussed, including the Office of the Deputy Director of Personnel, this T/O record is considered inadequate for personnel administration. The primary reason advanced is that it is 20 to 30 days out of

* Civil Service Handbook S-812, Basic Personnel Records and Files System for Federal Agencies, October 1950, page 39:

"Personnel records for use at operating levels should be limited to:

1. An Employee Record Card, Optional Form 4b.
2. Position Identification Strip, Standard Form 7d, and
3. A file of position descriptions."

date upon receipt and 50 to 60 days out of date at the end of the monthly period. A second reason is that the record is posted from a copy of the Form SF-50 whereas many third echelon offices prefer a list posted from the request form, SF-52. There are variations in this reasoning, dependent mainly upon the degree of control being exercised by career panels: if requests are almost always approved by the panels, T/O records can be posted when forms SF-52 are prepared; if requests are frequently disapproved, it is better to post to the T/O record after approval of the panel is obtained.

- (3) The third reason why the official T/O list is considered inadequate is because it does not show where people are actually working. This argument is a frank admission by operating personnel that they sometimes use employees as they choose, and not as they are officially slotted.
- (h) The Office of Central Reference prepares and uses its own monthly IBM T/O list. The record is posted at the time a request, Form SF-52, is prepared and it is called a "working T/O." Fourth echelons receive copies of this working T/O, only. A part of the new personnel records plan of FE Division is also the preparation of a monthly working T/O list with IBM equipment. Other third echelon offices preparing working T/O lists are OBI, OCI, FBID and FID.

The Office of Personnel Career Management Officer maintains two staffing records by hand which serve as a working T/O. They are posted from approved forms SF-52. The Office of Logistics maintains a typewritten T/O list of foreign field positions.

- c. Other Lists: Incomplete information was obtained concerning vacancy lists, lists of overseas employees scheduled to return in a few months and the In-casual List of the central personnel office. This monthly report lists each returnee reporting to the Central Processing Branch, OP and continues to list him until a Form SF-52 is prepared authenticating his new assignment. The other lists were considered reports, rather than basic records.
10. Pseudo/Crypto Files: This survey was limited to the identification of pseudonym and cryptonym cross-reference card files. Card files for supplying (and limiting the supply of) information over the telephone concerning employees in semi-covert operations were also identified.
11. Training Records: Individual reports and evaluations of courses completed are usually placed in a soft folder. Sometimes this is the same folder containing personnel papers and frequently it is a separate folder maintained by the component's training officer. In the Office of Personnel, such records are placed in the official personnel file folders.

Many offices also post training records to an individual card record. This may be the Form OF-4b, a blank card, or a card form especially

designed for a training record. Several such forms were identified.

Some offices maintain training records in a book, or binder.

The Office of Research and Reports posts training data to a 5x8 skills locator card. (See section 13 below).

12. Training Schedules: The development of career plans and the establishment of training officers have resulted in the determination of what employees should take what courses in the next few years. To put these plans into effect it seems necessary to maintain some kind of training schedule: a record of courses and a list of employees scheduled to take each course. The presence of such a record indicates positive planning for training. Most third echelons surveyed maintain such a record.

The Office of Logistics has a simple procedure for this operation. When a supervisor recommends specific training for an employee on his fitness report, the Administrative Staff posts the employee's name to a card headed with the name of the course. Each time an announcement is received that the course is to be given, the training officer removes the course card and, with the approval of the applicable supervisors, determines which employees will take the course. When they have completed the course, their names are crossed off the course card and the information is posted to their training card.

13. Skills Locator Record: About four years ago the Office of Personnel obtained Qualifications Questionnaires from all employees and prepared an IBM record of qualifications and training. As there are numerous records of qualifications and training in the Agency, this record is referred to, in this paper, as a skills locator record. Its purpose is to locate, by mechanical searching, employees of special skills and qualifications. It is used continually by personnel placement officers, particularly for DD/P components.

New employees are included, today, from the data on the revised Personal History Statement.

Applicants possessing pertinent qualifications are also included in this record.

Although the basic plan for this centralized skills locator record has included keeping it up to date, this part of the program has never been put into effect.* Thus, the record of in-service training and assignments is four year's out of date (for those who have four or more years of service).

Three third echelon offices maintain skills locator records: Office of Research and Reports, Western Hemisphere Division and Foreign Intelligence Staff. The record in ORR is on a 5x8 card form of their own

* A follow-up qualifications questionnaire is now in process.

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design and a new key-sort card is now being designed. This record was set up because ORR found the record of the Office of Personnel inadequate and inaccurate. The ORR record is maintained in the administrative staff. All reports of completed training and assignments pass through this office and are posted to the record.

A case officer in WH maintains a 5x8 card file on staff agents for use in locating agents with specific skills, such as lock-picking, for example. This, of course, is not a duplication of the central personnel office record.

FI Staff maintains a binder called a skills locator file which lists subjects such as legal travel and stay-behind and lists names, grades and location of personnel qualified in the subjects. It covers staff employees and staff agents.

14. Individual Career Plans: Five of the eleven third echelon offices surveyed have at least some career plans on file. In a sixth, the Office of Operations, which does not maintain personnel records at the office level, plans were maintained in one of its three divisions [REDACTED]

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